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中国科学院国家科学图书馆  
National Science Library, Chinese Academy of Sciences

# 中国科学院开放获取的政策选择

## Suggested Strategies of Open Access for Chinese Academy of Sciences



**Xiaolin Zhang, National Science Library**

Promoting 21<sup>st</sup> Century Scholarly Communication: The Role of  
Institutional Repositories in the Open Access Movement

The University of Hong Kong Libraries

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# Suggested Strategies of OA for CAS

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- **1. Introduction to CAS**
- **2. Challenges of OA for CAS**
- **3. Institutional Strategies of OA for CAS**
- **4. Implementation Measures of OA in CAS**



# Suggested Strategies of OA for CAS

## ■ 1. Introduction to CAS

### ■ General Make-up of CAS

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- 103 Research Institutes in 28 cities
  - Research staff > 25,000
  - Graduate Students > 30,000
  - Library system of 100+ libraries



|             |                   | CHINA | CAS   | % of CAS |
|-------------|-------------------|-------|-------|----------|
| Total       | 2001-2006年 TOP5%  | 17086 | 5831  | 34.13%   |
|             | 2001-2006年 TOP10% | 34171 | 11182 | 32.72%   |
| GeoScience  | 2001-2006年 TOP5%  | 643   | 405   | 62.99%   |
|             | 2001-2006年 TOP10% | 1286  | 864   | 67.19%   |
| Engineering | 2001-2006年 TOP5%  | 4600  | 1223  | 26.59%   |
|             | 2001-2006年 TOP10% | 9199  | 2491  | 27.08%   |
| Chemistry   | 2001-2006年 TOP5%  | 3607  | 1496  | 41.47%   |
|             | 2001-2006年 TOP10% | 7213  | 2716  | 37.65%   |
| Environment | 2001-2006年 TOP5%  | 359   | 130   | 36.21%   |
|             | 2001-2006年 TOP10% | 718   | 238   | 33.15%   |
| Agriculture | 2001-2006年 TOP5%  | 201   | 75    | 37.31%   |
|             | 2001-2006年 TOP10% | 402   | 138   | 34.33%   |
| Biology     | 2001-2006年 TOP5%  | 1416  | 456   | 32.20%   |
|             | 2001-2006年 TOP10% | 2831  | 910   | 32.14%   |
| Math        | 2001-2006年 TOP5%  | 826   | 137   | 16.59%   |
|             | 2001-2006年 TOP10% | 1652  | 302   | 18.28%   |
| Physics     | 2001-2006年 TOP5%  | 3190  | 1522  | 47.71%   |
|             | 2001-2006年 TOP10% | 6380  | 2921  | 45.78%   |
| Medicine    | 2001-2006年 TOP5%  | 1875  | 134   | 7.15%    |
|             | 2001-2006年 TOP10% | 3749  | 290   | 7.74%    |



# Suggested Strategies of OA for CAS

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## ■ 1. Introduction to CAS

### ■ History of Involvement of CAS in OA

- 2004 President Lu of CAS signed Berlin Declaration
- 2005 Chairman Chen of NSFC signed Berlin Declaration
- 2005 International Conference on Open Access to Scientific Information at Beijing, hosted by CAS Library
- 2006 Policy Study on Open Access to Scientific Information by CAS Library
  - Introduction of PLOS and BMC to Chinese gov. agencies



## Suggested Strategies of OA for CAS

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# Suggested Strategies of OA for CAS

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## ■ 2. Challenges of OA for CAS

- Lack of actions so far, but why?
- Personal level:
  - Lack of awareness of OA and its development
  - Lack of understanding of issues, strategies, best practices
  - Lack of easy access to supporting infrastructure and tools
  - Lack of incentives, both direct and indirect ones





# Suggested Strategies of OA for CAS

## ■ 2. Challenges of OA for CAS

- Lack of actions so far, but why?
- Organizational level:
  - Lack of understanding what is at issue with OA
    - Limited to a library issue or an access issue
  - Lack of organizational commitment
    - Need political will to tackle with intertwined problems
    - Need institutional authority to fight with entrenched interests
    - Need organizational effort to devise systematic mechanisms
  - Lack of concerted organizational strategies
    - Approaches, policies, organizational mechanisms, and tech/financial measures
  - Lack of supporting infrastructure
    - Best practices, tools, services, personnel, tech systems



# Suggested Strategies of OA for CAS

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## ■ 2. Challenges of OA for CAS

- Lack of actions so far, but why?
- National level:
  - Lack of awareness and understanding
    - What is at stake with OA for China?
    - Is it just a library/access/institutional issue?
  - Lack of proactive commitment
    - Whose responsibility?
    - Who will take the lead or be the first to sort out the entwined issues?
  - Lack of concerted national strategies
    - Approaches, policies, national coordination, and tech/financial measures
  - Lack of supporting infrastructure
    - Best practices, tools, services, personnel, tech systems



# Suggested Strategies of OA for CAS

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## ■ 2. Challenges of OA for CAS

### ■ Realization of some reality problems hindering OA

- Strong will to publish in "established" journals, in any cost
- Primarily being evaluated by publishing and being cited
  - personally and institutionally
- Misunderstanding and lack of ready help of IP rights issues
- Preventive publishing handling fees (\$1500 is too much)
- Delimma with STM journal publishing strategy (trends for market-driven and international collaboration)
- Intertwined responsibilities among multiple funding agencies
- Lack of support for "public good"
- .....



# Suggested Strategies of OA for CAS

## ■ 2. Challenges of OA for CAS

- Need to redefine the issue and the strategy for OA
- An information strategy issue
  - Not just a library issue or personal issue
  - An information access issue where innovative capability of CAS/Country is at stake
- An IP and knowledge assets management issue
  - Whether or not CAS/Country can capture, preserve, and sustainably access to its and world scientific products?
  - How to manage and protect the IP/K-assets for CAS/Country?
- A public policy or political issue
  - Public's right to access the output of publicly supported research
  - Science's (including scientists and those funding research) responsibility to promote and ensure public access to knowledge



## Suggested Strategies of OA for CAS

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# Suggested Strategies of OA for CAS

- **3. Institutional Strategies of OA for CAS**
  - Systematic approach to the OA strategy
    - **Define the OA strategy within the frameworks of**
      - institutional IP strategy
      - knowledge assets management
      - responsibility for public access to knowledge
      - so to define institutional and funding agencies' responsibility for promoting and supporting OA
    - **Establish an institutional policy on OA**
      - break-through by influential research organizations
      - tackle the issue in a smaller and more controllable situation
      - combine more easily with institution's IP strategy
      - integrate more easily with institution's info infrastructure



# Suggested Strategies of OA for CAS

## ■ 3. Institutional Strategies of OA for CAS

- Systematic approach to the OA strategy
  - Select a phased approach to implement OA
    - **Require** deposit of research papers in open institutional repositories and designated open subject repositories
    - **Support** OA publishing in quality OA journals or in journals with selective OA publishing
    - **Encourage** OA publishing of research journals
  - Develop a supporting framework
    - High-level OA advisory body
    - OA clearinghouse and support mechanism
    - OA tools to support undertaking by person or by institution
    - OA repository systems
    - Evaluative and promotional services for OA materials



# Suggested Strategies of OA for CAS

- **3. Institutional Strategies of OA for CAS**
  - Systematic approach to the OA strategy (continued)
    - **Establish** educational and promotional mechanisms
      - Develop OA promotion appealing to scientists and management/funding agencies (not academic papers)
      - Publicize success stories in OA publishing and deposit
      - Publicize and train for effective use OA repositories
      - Establish open forum for promotion and education
    - **Re-organize** institutional infrastructure to support OA
      - Put someone (some unit) in charge of OA promotion and support
      - Devise series of measures to support the supporting framework
      - Improve the info infrastrucute to utilize and integrate OA resources





## Suggested Strategies of OA for CAS

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- **1. Introduction to CAS**
- **2. Challenges of OA for CAS**
- **3. Institutional Framework of OA for CAS**
- **4. Implementation Measures of OA in CAS**

# Suggested Strategies of OA for CAS

## ■ 4. Implementation Measures of OA in CAS

- (1) Develop an OA strategy statement for CAS
  - put in a larger context and responsibility
    - as part of CAS IP strategy
    - as part of CAS knowledge asset management and e-science-based knowledge environment development
    - as part of CAS public policy strategy: contribution, responsibility, accountability, and capability to lead the national drive for innovation
  - define CAS layered OA approaches
    - Require deposit of research papers in CAS IR system
      - IRs of research institutes/IR at CAS Library
    - Support OA publishing
      - in quality OA journals/in journals with selective OA publishing
    - Implement
      - deposit fulfillment as part of project evaluation
      - repository usage as part of research "citations"
      - OA publishing into research output



# Suggested Strategies of OA for CAS

## ■ 4. Implementation Measures of OA in CAS

### ■ (2) Develop CAS organizational mechanisms for OA

- establish an OA promotion committee with high level officials and VIP scientists for strategies and policies
- establish an CAS OA office (maybe within CAS Library) to
  - implement the policies
  - provide legal, administrative, and financial support
  - promote and evaluate OA in CAS
  - collaborate with foreign and domestic research organizations
- charge the CAS Library as CAS OA supporter to
  - maintains an OA clearinghouse/portal
  - establishes an OA support team to work with CAS OA Office
  - prepares OA supporting tools
  - operates CAS OA repository, or support institutes for their IRs



# Suggested Strategies of OA for CAS

## ■ 4. Implementation Measures of OA in CAS

### ■ (3) Develop OA implementation procedures

#### ■ For scientists

- guidelines for fulfilling the deposit requirements
- guidelines for OA publishing and support for it
- guidelines for evaluation research with OA publishing and deposit

#### ■ For institute

- guidelines for implement the deposit requirements
- guidelines for supporting OA publishing
- guidelines for evaluation research with OA publishing and deposit
- guidelines for evaluation and promotion of OA materials



# Suggested Strategies of OA for CAS

- **4. Implementation Measures of OA in CAS**
  - **(3) Develop OA implementation procedures**
    - For publisher
      - Legal policy guidelines and license addendum
      - CAS-initiated negotiation with publishers to help ensure individual scientist's rights for OA deposit
      - Procedural help to scientists to negotiate with publishers
    - For funding agencies
      - CAS-initiated communication with funding agencies for their support to scientists' rights for OA deposit
      - CAS-initiated negotiation with funding agencies to support OA publishing (in terms of funding and of evaluation)



# Suggested Strategies of OA for CAS

- **4. Implementation Measures of OA in CAS**
  - **(4) Develop OA supporting systems**
    - OA portal
    - OA IR system
      - CAS IR at CAS Library
      - IRs at research institutes, with integration service at CAS Library and other subject-field integration service providers
  - Integration linkage with CAS information service system
  - OA technical supporting tools
    - software of IR systems and OA publishing
    - tools and services to promote and evaluate OA deposit papers (value-added services)



# Suggested Strategies of OA for CAS

## ■ **4. Implementation Measures of OA in CAS**

### ■ **(5) Develop OA supporting capabilities**

#### ■ Clearinghouse materials

- Exemplary policies of research and educational organizations
- Best practices in OA deposit and OA publishing
- OA evaluation and promotion documents
- Success stories

#### ■ Supporting materials

- author license addenda
- lists of "green" and OA journals with their policies/evaluation
- use manuals for IR deposit procedures
- services to evaluate and promote OA deposit materials

#### ■ Personnel support:

- recruitment and training and re-organization



## Suggested Strategies of OA for CAS

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- **4. Implementation Measures of OA in CAS**
  - **Roads to implement**
    - Strategy report to CAS presidency
    - Implementation initiative to CAS presidency
    - Implementation of some of the supporting infrastructure while formal decision is considered
    - Mobilize forces for promotion





# Suggested Strategies of OA for CAS

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Thanks!